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ORIGINAL**BEFORE THE ARIZONA CORPORATION COMMISSION****COMMISSIONERS:**

KRISTIN K. MAYES, Chairman
 GARY PIERCE
 PAUL NEWMAN
 SANDRA D. KENNEDY
 BOB STUMP

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ARIZONA CORPORATION
COMMISSION

In the matter of:

Docket No. S-20600A-08-0340

MARK W. BOSWORTH and LISA A.
 BOSWORTH, husband and wife;

STEPHEN G. VAN CAMPEN and DIANE V.
 VAN CAMPEN, husband and wife;

MICHAEL J. SARGENT and PEGGY L.
 SARGENT, husband and wife;

ROBERT BORNHOLDT and JANE DOE
 BORNHOLDT, husband and wife;

MARK BOSWORTH & ASSOCIATES, LLC, an
 Arizona limited liability company;

3 GRINGOS MEXICAN INVESTMENTS, LLC, an
 Arizona limited liability company;

Respondents.

**RESPONDENTS MICHAEL J.
 SARGENT AND PEGGY L.
 SARGENT'S LIST OF
 WITNESSES AND EXHIBITS**

Respondents hereby identify the witnesses and exhibits they may use at the hearing of this matter. Respondents reserve the right to supplement this List and/or supplement any witnesses or documents and evidence deemed necessary or appropriate for cross-examination or rebuttal.

I. WITNESSES.

1. Barbara Broyles
2. Lynda Santini
3. Shawn Nelson
4. Noel Pulanco
5. Lennie Olofson
6. Jeannie Beck

Arizona Corporation Commission

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JAN 19 2010

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- 1 7. Keith Keeler
- 2 8. Emilee Keeler
- 3 9. Greg Dawson
- 4 10. Shawnn Battershell
- 5 11. John Albright
- 6 12. Dave Zundell
- 7 13. Kevin Zurek
- 8 14. Karen May
- 9 15. Robert May
- 10 16. Any custodians of record.
- 11 17. Any witnesses the Securities Division of the Arizona Corporation Commission (the
- 12 "Division") identifies as potential witnesses in its List of Witnesses.

13 II. EXHIBITS.

- 14 1. Spreadsheet – Transaction List by Vendor, with supporting records.
- 15 2. 2006 Form 1099 for Michael Sargent from Mark Bosworth & Associates, LLC.
- 16 3. 2007 Form 1099 for Michael Sargent from Mark Bosworth & Associates, LLC.
- 17 4. 2007 Form W-2 form Michael Sargent from Mark Bosworth & Associates, LLC.
- 18 5. Spreadsheet – Michael Sargent Profit and Loss Statement.
- 19 6. Arizona Corporation Commission Decision No. 71071 (Banc of America).
- 20 7. Arizona Corporation Commission Decision No. 70968 (Citigroup).
- 21 8. Arizona Corporation Commission Decision No. 71333 (Credit Suisse)
- 22 9. Arizona Corporation Commission Decision No. 71249 (Deutsche Bank).
- 23 10. Arizona Corporation Commission Decision No. 71278 (JP Morgan).
- 24 11. Arizona Corporation Commission Decision No. 71162 (Merrill Lynch).
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12. Arizona Corporation Commission Decision No. 71425 (Morgan Stanley).
13. Arizona Corporation Commission Decision No. 71216 (RBC Capital).
14. Arizona Corporation Commission Decision No. 70896 (Wachovia).
15. Transcripts and exhibits from any testimony in this matter.
16. All documents produced by Respondents.
17. All documents the Division receives in response to any investigative subpoena or other subpoena.
18. All documents produced by the Division.
19. All documents the Division identifies as exhibits.
20. All Roshka DeWulf & Patten ("RDP") correspondence to the Division.
21. All documents the Division obtained during the course of its investigation.
22. All memos prepared by the Division of any interviews conducted in this matter.
23. Any documents produced subsequent hereby by any party to this proceeding.

RESPECTFULLY SUBMITTED this 19th day of January, 2010.

ROSHKA DeWULF & PATTEN, PLC

By 

Paul J. Roshka, Jr., Esq.

Jeffrey G. Gardner, Esq.

Timothy J. Sabo, Esq.

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Phoenix, Arizona 85004

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602-256-6800 (facsimile)

Attorneys for Respondents

Michael J. Sargent and Peggy L. Sargent

1 ORIGINAL and thirteen copies of the foregoing
2 filed this 19th day of January, 2010 with:

3 Docket Control
4 Arizona Corporation Commission
5 1200 West Washington Street
6 Phoenix, Arizona 85007

7 Copy of the foregoing, with copies of
8 referenced exhibits, hand-delivered
9 this 19th day of January, 2010 to:

10 Marc E. Stern, Administrative Law Judge
11 Hearing Division
12 Arizona Corporation Commission
13 1200 West Washington Street
14 Phoenix, Arizona 85007

15 Aaron S. Ludwig, Esq.
16 Securities Division
17 Arizona Corporation Commission
18 1300 West Washington Street, 3rd Floor
19 Phoenix, Arizona 85007

20 Copy of the foregoing mailed
21 this 19th day of January, 2010 to:

22 Robert D. Mitchell, Esq.
23 Joshua R. Forest, Esq.
24 Julie M. Beauregard, Esq.
25 Mitchell & Forest, P.C.
26 1850 North Central Avenue, Suite 1715
27 Phoenix, Arizona 85004
Attorneys for Respondent Robert Bornholdt

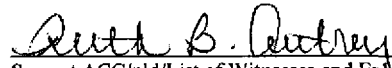
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Stephen G. and Diane V. Van Campen

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Pro Per


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